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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet

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of

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Complete if Known

Application Number	09/651,301
Filing Date	August 30, 2000
First Named Inventor	Richard W. Friesen
Art Unit	3624
Examiner Name	Akers, Geoffrey R.
Attorney Docket Number	36992.00109

U.S. PATENT DOCUMENTS

Examiner Initials *	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code ² (if known)			
<i>ent</i>		US-5,136,501	08-04-1992	David L. Silverman, et al.	
<i>ent</i>		US- 5,347,452	09-13-1994	William P. Bay, Jr.	
<i>ent</i>		US- 5,619,631	08-08-1997	Eric G. Schott	
<i>ent</i>		US- 5,966,139	10-12-1999	Vinod Anupam, et al.	
<i>ent</i>		US- 6,188,403	02-13-2001	Earl D. Sacerdoti, et al.	
<i>ent</i>		US- 6,272,474	08-07-2001	Crisostomo B. Garcia	
<i>ent</i>		US- 2002/0023038	02-21-2002	Daniel Scott Fritsch, et al.	
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FOREIGN PATENT DOCUMENTS

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		Country Code ³ - Number ⁴ - Kind Code ⁵				
<i>ent</i>		EP 0 388 162 A2	09-19-1990	Chicago Board of Trade		

Examiner
Signature

Richard W. Friesen

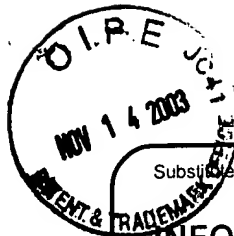
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Application Number	09/651,301
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U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code ² (if known)			
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gnt		US- 4,903,201	02-20-1990	Wagner, Susan W.	
gnt		US- 5,038,284	08-06-1991	Kramer, Robert M.	
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gnt		US- 5,101,353	03-31-1992	Lupien et al.	
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gnt		US- 6,408,282	06-18-2002	Buist, Walter D.	
gnt		US- 2001/0034696	10-25-2001	McIntyre, Kevin A.	

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		Country Code ³ - Number ⁴ - Kind Code ⁵				
gnt		WO 95/26005 A1	09-28-1995	Belzberg, Sydney H.		
gnt		WO 00/52619 A1	09-08-2000	WIT CAPITAL CORPORATION		

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Considered

6-10-04

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet 2 of 2

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First Named Inventor	Richard W. Friesen
Art Unit	3624
Examiner Name	Akers, Geoffrey R.
Attorney Docket Number	36992.00109

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NON PATENT LITERATURE DOCUMENTS

Examiner Initials *	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
<i>rd</i>		KHAROUF, Jim and Carla CAVALETTI; "A Trading Room With a View"; Futures; November 1998; 6 pages. www.futuresmag.com	
<i>rd</i>		USPTO Presentation regarding The NASDAQ Stock Market, Inc.; dated November 8, 2001; 15 pages.	

Examiner
Signature

Richard W. Friesen

Date
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6-10-01

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